



Applicant or Patentee: Richard W. Compans and Zhiyi Sha  
Serial or Patent No.:  
For: Transcutaneous Immunization for Large Particulate Antigens

Attorney's # 15-01  
Filed or Issued: March 9, 2001

TECH CENTER 160012900

NOV 12 2002

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VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: EMORY UNIVERSITY  
ADDRESS OF ORGANIZATION: 2009 Ridgewood Drive  
Atlanta, GA 30322

TYPE OF ORGANIZATION

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION LOCATED IN ANY COUNTRY
- ☐ AN ORGANIZATION OF THE TYPE DESCRIBED IN SECTION 501(c)(3) OF THE INTERNAL REVENUE CODE OF 1954 (26 U.S.C. 501(c)(3)) AND EXEMPT FROM TAXATION UNDER SECTION 501(a) OF THE INTERNAL REVENUE CODE (26 U.S.C. 501(a))
- ☒ ANY NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A STATE OF THIS COUNTRY (35 U.S.C. 201(ii))
- ☐ ANY NONPROFIT ORGANIZATION LOCATED IN A FOREIGN COUNTRY WHICH WOULD QUALIFY AS A NONPROFIT ORGANIZATION UNDER THE ABOVE PARAGRAPHS (2) OR (3) IF IT WERE LOCATED IN THIS COUNTRY

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees under §41(a) and (b) of Title 35, United States Code, with regard to the invention entitled

TRANSCUTANEOUS IMMUNIZATION FOR LARGE PARTICULATE ANTIGENS

by inventor(s) Richard C. Compans and Zhiyi Sha  
described in ☐ the specification filed herewith  
☒ application serial no. 09/803,649 filed March 9, 2001  
☐ patent no. issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. 1.9(d) or by any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or by any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or a nonprofit organization under 37 C.F.R. 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. 1.27)

NAME ☐ INDIVIDUAL  
ADDRESS ☐ SMALL BUSINESS CONCERN  
☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true: and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Mary L. Severson  
TITLE IN ORGANIZATION: Director, Office of Technology Transfer  
ADDRESS OF PERSON SIGNING: 2009 Ridgewood Drive  
Atlanta, GA 30322

SIGNATURE Mary L. Severson DATE 4/9/01

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